

FORM PTO-1390 (Modified)  
(REV. 07-2004)

U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

258185US0XPCT

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/506603

INTERNATIONAL APPLICATION NO.  
**PCT/EP03/02383**INTERNATIONAL FILING DATE  
**8 March 2003**PRIORITY DATE CLAIMED  
**15 March 2002 (earliest)**

TITLE OF INVENTION

**PROCESS FOR THE HYDROFORMYLATION OF OLEFINS**

APPLICANT(S) FOR DO/EO/US

**TOETSCH Walter et al.**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☐ Express Mail Label No.
23. ☒ Other items or information:

**PCT/IB/304/Notice of Priority/PCT/IB/308  
Application Data Sheet/Drawings (3 sheets)  
Cited References (3)/PTO-1449**

|  |              |                               |                          |                           |        |
|--|--------------|-------------------------------|--------------------------|---------------------------|--------|
| U.S. APPLICATION NO (if known, see 37 CFR 1.9)   |              | INTERNATIONAL APPLICATION NO. |                          | ATTORNEY'S DOCKET NUMBER  |        |
| 10/506603  |              | PCT/EP03/02383                |                          | 258185US0XPCT             |        |
| 24. The following fees are submitted:  |              |                               |                          | CALCULATIONS PTO USE ONLY |        |
| BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :  |              |                               |                          |                           |        |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . . . . .                               |              |                               |                          | \$1080.00                 |        |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO . . . . .  |              |                               |                          | \$920.00                  |        |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . .  |              |                               |                          | \$770.00                  |        |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) . . . . .   |              |                               |                          | \$730.00                  |        |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) . . . . .   |              |                               |                          | \$100.00                  |        |
| ENTER APPROPRIATE BASIC FEE AMOUNT =   |              |                               |                          | \$920.00                  |        |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30   |              |                               |                          | \$130.00                  |        |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA                  | RATE                     |                           |        |
| Total claims   | 11 - 20 =    | 0                             | x \$18.00                | \$0.00                    |        |
| Independent claims   | 1 - 3 =      | 0                             | x \$86.00                | \$0.00                    |        |
| Multiple Dependent Claims (check if applicable).   |              |                               | <input type="checkbox"/> | \$0.00                    |        |
| TOTAL OF ABOVE CALCULATIONS =  |              |                               |                          | \$1,050.00                |        |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |                               |                          | \$0.00                    |        |
| SUBTOTAL =   |              |                               |                          | \$1,050.00                |        |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30   |              |                               |                          | \$0.00                    |        |
| TOTAL NATIONAL FEE =   |              |                               |                          | \$1,050.00                |        |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).  |              |                               |                          | <input type="checkbox"/>  | \$0.00 |
| TOTAL FEES ENCLOSED =  |              |                               |                          | \$1,050.00                |        |
|  |              |                               |                          | Amount to be: refunded    | \$     |
|  |              |                               |                          | charged                   | \$     |
| a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed.  |              |                               |                          |                           |        |
| b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.   |              |                               |                          |                           |        |
| c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>15-0030</u>  |              |                               |                          |                           |        |
| d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. |              |                               |                          |                           |        |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.  |              |                               |                          |                           |        |
| SEND ALL CORRESPONDENCE TO:  |              |                               |                          |                           |        |
| CUSTOMER NUMBER 22850  |              |                               |                          |                           |        |
| SIGNATURE  |              |                               |                          |                           |        |
| Norman F. Oblon  |              |                               |                          |                           |        |
| NAME   |              |                               |                          |                           |        |
| Corwin P. Umbach, Ph.D.  |              |                               |                          |                           |        |
| 24,618 Registration No. 40,211   |              |                               |                          |                           |        |
| REGISTRATION NUMBER  |              |                               |                          |                           |        |
| September 10, 2004   |              |                               |                          |                           |        |
| DATE   |              |                               |                          |                           |        |

- Docket No. 258185US0XPCT  
IN RE APPLICATION OF: Walter TOETSCH et al.  
SERIAL NO: New U.S. PCT Application Based on PCT/EP03/02383  
FILED: HEREWITH  
FOR: PROCESS FOR THE HYDROFORMYLATION OF OLEFINS

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 is claimed.
- ☒ Additional documents filed herewith: PCT Transmittal Letter/PCT/IB/304/English Translation of Specification/PCT/IB/308 Information Disclosure Statement/Cited References (3)/International Search Report PTO-1449/Application Data Sheet/Notice of Priority/Drawings (3 sheets) Credit Card Payment Form for \$1,050.00

The Fee has been calculated as shown below:

| CLAIMS      | CLAIMS<br>REMAINING |  | HIGHEST<br>NUMBER<br>PREVIOUSLY<br>PAID | NO.<br>EXTRA<br>CLAIMS | RATE      | CALCULATIONS |
|-------------|---------------------|--|---|------------------------|-----------|--------------|
| TOTAL       | 11                  | MINUS  | 11                                      | 0                      | x \$18 =  | \$0.00       |
| INDEPENDENT | 1                   | MINUS  | 1                                       | 0                      | x \$86 =  | \$0.00       |
|             |                     | <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS                   |   |                        | + \$290 = | \$0.00       |
|             |                     | TOTAL OF ABOVE CALCULATIONS  |   |                        |           | \$0.00       |
|             |                     | <input type="checkbox"/> Reduction by 50% for filing by Small Entity |   |                        |           | \$0.00       |
|             |                     | <input type="checkbox"/> Recordation of Assignment                   |   |                        | + \$40 =  | \$0.00       |
|             |                     | TOTAL  |   |                        |           | \$0.00       |

- ☐ A check in the amount of \$0.00 is attached.
- ☐ Credit card payment form is attached to cover the fees in the amount of \$0.00
- ☒ Please charge any additional Fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- ☒ If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.  
Norman F. Oblon



Norman F. Oblon

Registration No. 24,618  
Corwin P. Umbach, Ph.D.  
Registration No. 40,211

Surinder Sachar  
Registration No. 34,423

Customer Number

22850

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)